



PATENT
Docket No.: 57909/428

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant(s) :	Briles et al.)	Examiner:
)	N. Minnifield
Serial No. :	09/298,523)	
Cnfrm. No. :	2114)	Art Unit:
)	1645
Filed :	April 23, 1999)	
For :	PNEUMOCOCCAL SURFACE PROTEIN C (PspC),)	
	EPITOPIC REGIONS AND STRAIN SELECTION)	
	THEREOF, AND USES THEREFOR)	

**ASSERTION OF ENTITLEMENT TO SMALL ENTITY STATUS
PURSUANT TO 37 CFR § 1.27(c)(1)**

Mail Stop AF
Commissioner for Patents
P.O. Box 1450
Alexandria, Virginia 22313-1450

Dear Sir:

Pursuant to 37 CFR § 1.27(c)(1), applicants hereby notify the U.S. Patent and Trademark Office ("PTO") that small entity status is entitled to be asserted for the above-identified patent application. In particular, a license agreement between the assignee of the above-identified patent application, UAB Research Foundation ("UAB"), and a large entity company was terminated on August 31, 2004. An assignment for the subject patent application to UAB was recorded on April 30, 2001, at Reel 011765/Frame 0823 in the PTO. Since UAB is a small entity, and there are no licenses of the subject patent application to a large entity, the present patent application is entitled to small entity treatment.

Respectfully submitted,

Date: December 7, 2004

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CERTIFICATE OF MAILING OR TRANSMISSION [37 CFR 1.8(a)]

I hereby certify that this correspondence is being:

- ☒ deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to: Mail Stop AF, Commissioner for Patents, P. O. Box 1450, Alexandria, VA 22313-1450
- ☐ transmitted by facsimile on the date shown below to the United States Patent and Trademark Office at (703) 308-5077.

Dec. 7, 2004
Date

Ruth R. Smith
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